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ABSTRACT

Performance/Outcome Based Principal Evaluation (P/OBPE) attempts to enhance the instructional and managerial leadership of the principal and assistant principal by providing a basis for effective data collection, communication, personal and organizational development, and employment decision making. Professional criteria--job related expectations based upon studies of effective schooling and effective administration--are the most significant professional content in the evaluation process. The P/OBPE process is based upon the premise that supervision of personnel and assessment of desired organizational outcomes are not only compatible, but also complimentary, when properly sequenced. Five phases promote proper sequencing in P/OBPE. In the developmental phase, the evaluative process is formulated, refined, and adapted. The preparatory phase provides opportunity for initial and ongoing inservice in the terminology, process, and expectation of the new evaluative system and identifies essential school goals. In the formative phase, the principal receives specific skill and goal accomplishment feedback and coaching. The summative phase is a synthesis of all data, placed in proper perspective to define current level of performance on each criterion and accomplishment of goals. Finally, the contractual phase is the employment decision based on the summative data. Two figures and eight examples of P/OBPE forms are included. (WTH)

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PERFORMANCE/OUTCOME BASED PRINCIPAL EVALUATION

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INTRODUCTION

Principals and assistant principals are obviously key individuals in the operation of an effective school. Though seldom directly involved in teaching students, the principal's impact upon the educational program through instructional and managerial leadership is generally greater than any other staff member. Performance/Outcome Based Principal Evaluation (P/OBPE) can enhance that leadership through on-going principal development and organizational change. The process of performance, outcome based principal evaluation presented in this paper is a product of fifteen years of developing, implementing, assessing and refining administrator evaluation programs in hundreds of school systems.[1] The process is not purported to be a panacea for all that ails administrators and schools. However, the procedures do provide a basis for effective data collection, communication, personal and organizational development, and employment decision making.

The value of participative development and management, the individual worth of personnel, and the importance of an organizational culture created through trust and collegiality provide a philosophical basis for P/OBPE procedures. To amplify this philosophical base, five personnel evaluation issues are discussed below. P/OBPE evolved from a strong belief about the importance of each of these issues.[2]

1. Personnel Development vs Personnel Dismissal. Negative cultures are created through traditional evaluation systems which focus primarily upon data collection for employment decision making. Positive cultures are created when honest assessment and opportunity for improvement are paramount and employment decision making is secondary.

2. High Evaluator-High Principal Involvement vs High Evaluator-Low Principal Involvement. Personnel growth is seldom lasting or significant when the evaluator does all the assessing, most of the talking and provides most of the answers. Self-assessment, collegial coaching and jointly developed growth plans promote participation by the principal. Higher principal involvement results in greater readiness to improve.

3. Personalized Assessment and Differentiated Responsibilities vs Comparative Assessment and Commonality Responsibilities. Principals have varied responsibilities, schools have unique leadership needs, communities and educational groups have different expectations. Principals should be evaluated based upon those unique responsibilities, needs and expectations rather than a set of common expectations and norms which promote comparison among principals. Performance criteria of greatest import in one setting may be of lesser importance in another setting. The evaluator should weigh the merit of each expectation (criterion) and school goal and evaluate accordingly rather than employ comparative judgments and use a set of common and equal criteria for all principals irrespective of local needs and expectations.

4. Instructional Leadership vs Managerial Leadership. Effective instructional leadership seldom occurs without efficient day-by-day management of school operations. Staff, students and parents find it difficult to focus upon instructional issues when managerial issues cloud the horizon. Both instructional and managerial leadership must be present in an effective school. Yet, priority of time and energy for the principal should favor instruction. A school is seldom

as educationally effective as it could be if the principal does not stress instructional focus through example and expectations. More than half of the evaluative criteria for principals should relate to instructional responsibilities. Each of the school goals should directly or indirectly impact upon the instructional program.

5. Performance/Outcome Assessment vs Performance Assessment. Educational historians might describe the last quarter of this century as an era of outcome based education. From the public outcry for accountability in the early seventies, to the productivity measure and organizational culture terminology of the eighties, educators have been faced with the necessity to define and deomonstrate quality of personnel, product and organization. To assess only personnel skill level assumes, or ignores, organizational growth. To assess only organizational outcomes is inadequate to generate quality personnel improvement. P/OBPE encompasses personnel skill assessment and development through evaluative criteria, and organizational outcomes and productivity through goal setting. This dualistic approach provides a philosophical and procedural framework for moving evaluation of personnel through the latter part of this "era of outcome based education."

TERMINOLOGY

PERFORMANCE/OUTCOME BASED PRINCIPAL EVALUATION is a process for the professional development of principals through: (a) the identification of job related expectations and desired organizational outcomes; (b) the documentation of expected skills and accomplishment of desired outcomes; (c) feedback, discussion, and coaching regarding skill level and progress toward outcomes; (d) the opportunity to improve skill level and modify desired outcomes; and, (e) job related decision making.[3]

The first phrase, "a process for the professional development of principals" highlights the importance of P/OBPE being a series of events (a process), not the singular activity of preparing a summative evaluative document so often used to meet state mandates or board policy guidelines. The phrase also states the general purpose of the evaluation process: professional development of principals.

The professional development of principals cannot be accomplished without a clear understanding of the personal skills a principal is expecteed to master and the organizational outcomes a principal is expected to accomplish. The personal skills are the performance criteria.

PERFORMANCE CRITERIA are job related expectations based upon studies of effective schooling and effective administration.

The performance criteria are the most significant professional content in the evaluation process. From the beginning of the process when these expectations are reviewed for understanding, through the end of the process when the principal is evaluated on the Performance Criteria Summative Evaluation Form, each skill related activity in the process is structured around the criteria. The criteria form the basis for the data collection, the conferences, the growth plans and the summative evaluation associated with the skill performance portion of the process.

Because of the significant role of the performance criteria in the P/OBPE process, a clear understanding of the meaning of each criterion is crucial. Descriptors assist the evaluator and the principal in that understanding.

> DESCRIPTORS are phrases which collectively communicate the meaning of a a criterion.

Descriptors are statements of skill or action not significant enough to stand alone as a criterion but significant enough to be used to convey the meaning of a criterion. The descriptors provided for each criterion do not represent a complete listing of administrative behavior associated with that criterion. They are exemplary, not inclusive. To compile an inclusive list requires extensive time, is cumbersome, confusing, and generally considered impossible. Criteria and descriptors begin with action verbs.

Performance Area is a term taken from the literature of performance evaluation and applied to the skill assessment portion of P/OPBE.

> PERFORMANCE AREAS are groupings of criteria which are similar.

Performance areas are an administrative nicety. They represent a logical arrangement of criteria but are never directly involved in critical evaluative issues.

In P/OBPE, understanding that a principal is evaluated on criteria, not descriptors nor performance areas, is important. Criteria are the critical content, descriptors assist in understanding the criteria, and performance areas are logical groupings of similar criteria. Only the performance criteria are essential. Figure 1 provides an example of a criterion, some related descriptors and a performance area. A complete set of Performance Areas, Criteria and Descriptors are provided in the Appendix.

Figure 1

Sample Performance Area, Criterion, Descriptors

-Instructional Leadership (Performance Area)

--Provides for management of instruction (Criterion)

---Promotes the identification of instructional objectives.
---Promotes instructional programming consistent with instructional objectives.
---Monitors student progress toward achievement of instructional objectives.
---Makes program changes based upon student achievement data or othr pertinent information.

The terms criteria, descriptors and performance areas defined above represent aspects of the P/OBPE process associated with personal skill improvement. The critical term in the portion of the P/OBPE process associated with accomplishment of desired organizational growth are School Goal Statements. In P/OBPE, School Goal Statements

are the foundation of the organizational outcomes dimension just as Performance Criteria are the foundation of the personal skill dimension.

> SCHOOL GOAL STATEMENTS are desired educational outcomes for the school upon which the principal can have some impact.

Typically, five or six goals are identified for each school year, with about half reflecting unique needs of the school and the others representing the schools efforts to address district-wide goals. School Goal Statements should be developed through faculty input, typically in the Spring for the upcoming school year. Systematic involvement through committee structure followed by high "focus" upon the goal enhance the positive impact of this process on the school organization.

EVALUATIVE PHASES

The P/OBPE process is based upon the premise that supervision of personnel and assessment of desired organizational outcomes are not only compatable, but complementary when properly sequenced. To promote proper sequencing, the P/OBPE process is categorized into five distinct phases: Developmental, Preparatory, Formative, Summative and Contractual. The procedures associated with each are based upon the philosophical foundation presented in the previous sections of this paper. In the Developmental phase the evaluative process is formulated, refined and adopted by the Board of Education. After adoption, the Preparatory phase provides opportunity for initial and on-going inservice in the terminology, process and expectations of the new evaluative system. The Preparatory phase also includes the identification of school goals esssential in providing positive direction for the school. The Formative phase is the most impacting of the phases upon the development of the principal and the school. During this phase, the principal receives specific skill and goal accomplishment feedback and coaching designed to improve performance and outcomes. Improvement plans are a part of this phase for all principals. The Summative phase is the judgmental phase requiring decisions based upon all that has transpired during the evaluative process. The Summative phase is a synthesis of all data, placed in proper perspective to define current level of performance on each criterion and accomplishment of desired goals. The Contractual phase is the employment decision based upon the Summative data.

Each of the P/OBPE phases are schematically depicted in Figure 2 and described in more detail in the following sections of this paper. The dualistic approach used in P/OBPE is readily evident through the "Performance Criteria" and "School Goals" columns. The Performance Criteria column represents issues related directly to improvement of personal skill on the job-related expectations (criteria). The School Goals column represents issues associated with the accomplishment of desired school outcomes (goals). The issues and tasks for the Developmental and Contractual Phases are the same for the Performance Criteria and School Goals; the issues and tasks for the Preparatory, Formative and Summative Phases are different.

Figure 2

PERFORMANCE/OUTCOME BASED PRINCIPAL EVALUATION SCHEMA

EVALUATIVE PHASES	MAJOR EVENTS AND TASKS FOR PERFORMANCE CRITERIA	MAJOR EVENTS AND TASKS FOR SCHOOL GOALS	TYPICAL TIMEFRAMES
Developmental	Leadership Commitment Philosophy of Improvement Participative Management Committee Tasks Review Literature and Models Draft Process/Content/Forms Seek Input and Refine Recommend to Board Plan Inservice		Fall through Winter
Preparatory	Inservice Principals Process/Content Inservice Evaluators Process/Content	Inservice Principals Process/Content Inservice Evaluators Process/Content Identify School Goals Assess Needs Faculty Input Building Goals District Goals	April through September
Formative	Scheduled Observations Notetaking Formative Form Conference Unscheduled Observations Notetaking Formative Form Conference Non-Observed Data Documentation Formative Form Conference Artifact Data Identify Collect Analyze Formative Form Conference Growth Plans All Personnel Criterion Based Developed Collegially	Goal Progress Principal Assess Supervisor Assess Formative Form Conference Goal Modification Collegial Goal Progress Principal Assess Supervisor Assess Formative Form Conference	September through May
Summative	Summative Form Criteria Performance Summative Conference Growth Plans	Summative Form Goal Accomplishment Summative Conference Goal Identification	June and/or December
Contractual	Employment Decision Performance Criteria Summative Evaluation Goal Statement Summative Evaluations		June or December

DEVELOPMENTAL PHASE

Too often change occurs "top-down." This hierarchial model promotes organizational changes which are often needed but seldom lasting. A superintendent attends a conference or workshop, hears an exciting speaker, returns to the homefront and mandates the change. This change process infrequently makes an impact. For change to be effective and lasting, personnel affected by the change should have input into the development, refinement and implementation of the change. They must understand and support the philosophical roots of the proposed change and be able to envision the positive effects forthcoming after the change. Participative development and implementation of the change are critical. Research data are clear -- without participative development and implementation, the new change, regardless of how appropriate, will generally not survive the test of time nor the influx of new personnel.

To promote quality, lasting change, the P/OBPE program should be developed through a committee representative of those persons directly affected by the process (principals) and other relevant parties such as central office personnel, teachers, board members, etc. The committee must develop the job related expectations (criteria and descriptors), the process to assess the expectations and accomplishment of organizational goals, and the appropriate procedural forms to implement the process. Provided below is a listing of typical tasks for a P/OBPE Committee.

Committee Tasks

1. Review current literature on effective schooling, effective teaching, effective administration and evaluation
2. Review evaluation models from other districts and states
3. Interact with consultants regarding research and P/OBPE models
4. Draft a P/OBPE system for the district
5. Present the draft to district principals for input and refinement
6. Revise draft per input into a recommended system for the district
7. Present the proposed system to the Board of Education for approval
8. Present the approved system to the educators of the district

The use of an experienced consultant as a resource person and committee facilitator during the development of a performance-outcome based evaluation system results in improved committee efficiency and quality of the evaluation system. The consultant understands and can communicate the nuances, the pros and cons and the projected consequences of the various procedures associated with each type of decision during the development of the process and the evaluation forms. The committee can then make decisions most appropriate to the local setting. A recent study[4] of 405 districts implementing new evaluative systems indicated those districts which used consultants implemented systems which were generally more effective, had more internal support and were more likely to make a significant impact upon the educational program than districts which implemented the new systems without the direct assistance of a consultant. Even smaller districts, where consultant costs seem prohibitive, make use

of consultant services by pooling resources and developing individual, personalized systems simultaneously.

Committee Structure

The development of a P/OBPE system for a school district should be a function of a district-wide committee representative of the various educators and constituents in the community. Each district should consider the uniqueness of the community before determining what groups are represented and how those representatives should be selected. The following list is not inclusive of all considerations regarding the committee structure, but does provide several important issues that must be addressed before identifying a district-wide evaluation committee.

1. The committee should be large enough in number to be representative, but small enough to be effecient and effective. Twelve to fifteen members is usually adequate.

2. Representation from the various teaching and administrative groups in the district should be assured. Approximately half of the committee membership should be from the group most directly affected by the evaluation system, i.e. principals and assistant principals. In the identification of members for the committee, consideration should be given to representativeness by race, sex, building grade levels, experience, etc. However, of paramount importance is the identification of persons who are highly intelligent, articulate, skilled in their roles and respected by their peers. Appointments are typically made in one of the following ways:

    a. Appointment by the Superintendent or Board of Education.

    b. Appointment by the local professional associations.

    c. Appointment by the Superintendent in consultation with the leadership of the local professional associations.

    d. Appointment of volunteers.

    e. Appointment via a blending of two or more of the above.

3. Representation from the various constituents within the community should be considered. Typically, one or two Board members serves on the committee. Thus, when the system is being reviewed by the Board for approval, the Board has first-hand information, insight, and support for the proposed system. Other members of the community may be represented on the committee, given the typical degree of involvement of community members on district committees. At the very least, consideration should be given to the involvement of a parent representative of the various parent groups in the educational community.

In a mid-size to large district, a typical committee might be structured as follows:

1. 3 teachers (1 elementary, 1 middle, 1 secondary)
2. 3 principals (1 elementary, 1 middle, 1 secondary)
3. 3 assistant principals (1 elementary, 1 middle, 1 secondary)

4. 2 central office administrators
5. 1 board member
6. 1 parent or community business person

Maintaining a functional size is an important consideration. However, the larger the size of the district, the larger must be the committee. Representation of various professional groups is an important consideration, as long as the committee does not become so large as to be disfunctional.

Another consideration in the appointment of the committee should be the ability of the committee members to represent committee decisions to other educators. This is important during the development of the system and the education of other personnel regarding the final, approved system.

PREPARATORY PHASE

As mentioned previously, for the Preparatory, Formative and Summative Phases, the issues and specific tasks associated with the Performance Criteria are somewhat different from the issues and tasks for the School Goals. To best depict those differences, the purposes and tasks associated with the criteria and goals for each phase are presented separately. This section represents the Performance Criteria issues, the following section presents School Goals issues.

PREPARATORY PHASE -- PERFORMANCE CRITERIA

The purposes of the Performance Criteria preparatory phase are to ensure principals' understanding of the procedures to be used in the evaluative process and the skill expectations (criteria) for which they will be held accountable and promote the effective implementation of the procedures by providing inservice training for the evaluators. Ensuring that persons evaluated understand prior to the beginning of the evaluation process that which is expected of them and the manner in which they will be evaluated is a fair, humane, ethical and legal approach to personnel evaluation. Prior knowledge is necessary if evaluation is to promote development, as contrasted to being judgmental. Inservice education is necessary prior to the implementation of any significant organizational change. Inservice is particularly appropriate for a process as potentially beneficial and controversial as personnel evaluation. Members of the evaluation committee which developed the evaluative system should assist in the planning and implementation of the inservice sessions. An outside consultant may serve as the primary presentor and be assisted by the committee members, or the committee may develop and conduct the inservice without assistance.

Length of the inservice activities necessary to meet the purposes stated above varies according to sophistication of district personnel. Generally, one full day of inservice for persons to be evaluated and two full days for those who will be doing the evaluating is adequate to enter the first few months of the new process. Most disticts find that an additional day of inservice for all principals and evaluators later in the school year is valuable because of the opportunity to relate concrete experiences with the theoretical aspects of the new system.

To ensure understanding of the evaluative procedures and expectations, inservice training of principals should be an on-going process, not ending during the first year of the newly implemented program. Continued refinement of principals' skills and attitudes

about personal development can be accomplished though inservice on administrative skills, effective schooling, etc. Inservice activities are most effective when based upon felt needs of the principals; internal motivation is more effective than external.

Prior to the beginning of the data collection process, the evaluator should discuss with the principal those types of "artifact" data the evaluator would like to review so collection of the data can be accomplished during the school year. Artifact data are substantive items of information such as faculty attitude surveys, attendance records, student test data, committee minutes, etc.

PREPARATORY PHASE -- SCHOOL GOALS

The purpose of the preparatory phase for School Goals extends beyond the "understanding" issues for the Performance Criteria. As with the Performance Criteria, an understanding of the process as related to the School Goals component is essential. In addition to this understanding, School Goals must be identified during the preparatory phase.

Inservice about the purpose and writing of School Goals is helpful to principals as they learn to identify meaningful, potentially impacting goals. Without proper training, goals are too often simplistic issues which do not impact significantly in the school. This was exemplified in recent years as many districts required principals to identify school goals. More often than not, the result was a listing of statements about personal administrative skills rather than desired school outcomes. The goals frequently reflected activities already completed or nearly completed and did not make a significant difference in the quality of life or program of the school. The principals selected goals which were easy to achieve, low in impact and often already "in their hip pocket."

Staff input into the operation and direction of a school should be systematic and evident to all concerned. This is particularly important during the spring of the year when faculty should be involved in assessing the past year and envisioning future goals. Neither the principal, nor the administrative team should be solely responsible for identifying school goals for the upcoming year. The process should be collegially based, with structured input from standing or ad hoc committees. Two standing, building committees can meet these and other educational needs of the staff and program. A "curriculum and instruction" committee can address issues related to the instructional program and an "administrative advisory" committee can address issues related to the managerial and prodedural operations of the school.[5]

An effective School Goal Statement is based upon an assessment of faculty and program needs, provides a vision for improvement and a game plan to accomplish that vision. The Goal represents an issue which will impact positively in the school; one over which the principal has some control; but, one which is not focused upon improving a principal's personal skill. Following is an example of a typical goal statement.

> School Goal Statement for the 1986-87 School Year:
> Improve parent and student knowledge and sensitivity to substance abuse by developing and implementing a "Parents and Students Who Care" program.

This goal would be assessed at the end of the year according to data related to improving parent and student knowledge and sensitivity to substance abuse. The obvious assessment would be whether a program was begun, the number of parents and

students involved and the impact the program had on parents and students directly and indirectly involved.

A School Goal Statement may appear general, leading to more specific goals in the future. The following School Goal Statement initiates a school improvement plan which will result in more specific goals in later years.

> School Goal Statement for the 1986-87 School Year:
> Develop and begin implementation of a three year school improvement plan based upon concepts presented by Glen Robinson in the Educational Research Services publication "Effective Schools Research: A Guide to School Improvment," February, 1985.

The above goal would be a starting point for a series of similar goals over the next three years. Once the school improvement plan was developed, the goals in future years should be worded as desired outcomes. For example

> School Goal Statement for the 1987-88 School Year:
> Develop a consistent process for assessing student progress on curricular objectives and reporting that progress to faculty so modifications in instructional strategies can be made accordingly.

The outcomes will be the new process for assessing and reporting progress and the modifications made in instructional strategies.

Each of the above School Goal Statements reflects unique needs of a particular school. Goals may also be developed which "dovetail" with districts-wide goals. Often, the Board of Education and Superintendent expect all schools in the district to address certain issues and write goals which correlated to a district goal.

Most school faculty and principals can develop and focus upon four to six major issues each year. Typically, two or three of these goals are unique to the particular school and two or three are correlated with district goals. Too many goals in a given time frame can appear overwhelming and thus counterproductive both in time invested and attitude about improvement.

FORMATIVE PHASE

The Formative Phase is the most significant series of events in an evaluative process designed to promote personal growth and organizational development. In P/OBPE, at least 90% of the time and energy given to evaluative actitivites should be made in the formative phase. The Formative Phase includes data collection and documentation, conferencing for coaching and feedback, and opportunity for improvement. In essence, items "b," "c," and "d" in the following definition of P/OBPE.

> PERFORMANCE/OUTCOME BASED PRINCIPAL EVALUATION is a process for the professional development of principals through: (a) the identification of job related expectations and desired organizational outcomes; (b) the documentation of expected skills and accomplishment of desired outcomes; (c) feedback, discussion, and coaching regarding skill level and progress toward outcomes; (d) the opportunity to improve skill level and modify desired outcomes; and, (e) job related decision making.

FORMATIVE PHASE -- PERFORMANCE CRITERIA

Data collection, documentation and conferencing during the Formative Phase occurs in four formats. Some data are collected on a "scheduled" basis, some on a more spontaneous, "unscheduled" basis. Some data, such as letters or phone calls from parents, are unsolicited and "non-observed." Other data come from specified sources of relevance such as attendance reports, test scores, committee minutes, etc. and are defined as "artifact" data. The following sections describe in more detail each of these four data types.

Scheduled Observations

In P/OBPE, decisions based upon assumptions about performance are inappropriate. To evaluate a principal without observing and effectively documenting specific administrative skill is unfair to the principal, unethical, and in more and more states, a violation of procedural rights. Therefore, an essential component of P/OBPE is the on-site observation of a principal.

Notetaking

On-site observations are valid means of collecting data about a principal's typical day-by-day administrative skills. To collect these data, the evaluator must "shadow" the principal for a specified period of time. The term "shadow" is used in the most positive sense of following the principal during the school day and making notes about what the principal does and says. Specifically, the evaluator should record, as much as is feasible, the exact statements made by the principal and those with whom the principal communicates. The evaluator should also record the specific tasks in which the principal participates and when time permits, label the tasks and statements according to administrative skills and/or job functions. The opeing lines from a principal-teacher discussion provide an example of the type of documentation which can be useful to the evaluator and the principal for skill improvement.

> Time: 8:15 AM Location: Office Area
> Discipline-Problem Solving
>
> Teacher: Do you have a minute for us to visit?
> Principal: Sure, what's the problem?
> Teacher: I'm having trouble with Johnny Jameson. He talked back to me...I'm not sure how I want to deal with him.
> Principal: Is this something you want to handle yourself, or do you think I should call him in to have a little visit?

No matter how talented the evaluator, words and sentences will be missed during conversations. On occasion, an event or task may be missed. The important issue is not perfection, but adequate quality to be interpretable and therefore useful as a basis for the post-observation conference. When reread, a good set of observation notes creates a mental picture of the events and the discussions of the day. The notes are descriptive of what occurred and was said, not paraphrases or shortened versions of what was meant. The good set of notes is also void of value laden statements. As an example, the following might appear in an evaluator's notes: "The principal made a mistake when he told the teacher she should '...call the girl's parents tonight'." The evaluator should not judge such statements or behavior at this time. The post-observation conference

will provide ample opportunity to determine, and then discuss, the appropriateness of specific statements or behaviors.

In addition to recording the verbage and activities of the principal, the skilled observer also makes notes about the physical environment of the school, the behavior of students and staff and, when apparent, the attitudes of students and staff. The notes related to physical environment should be descriptive of what is seen. For example, "The boys' restrooms are clean; no graffiti; one cigarette butt; no toilet paper; poorly lit." "The hall floors are swept between classes." Staff and student behavior should also be described specifically. For example, "Students in the lunchroom were orderly, reasonably quiet, many sat at tables and visited after eating; three students were boisterous, the assistant principal spoke to them immediately, they remained quiet for a few minutes then left the area." "Between classes, four of seven teachers stood at their classroom doors and spoke with students; student passing behavior was orderly, efficient, quiet, those who did try to run were quickly slowed down." When making the more "subjective" notes about attitude, the observer must remember to describe what is observed, not make assumptions, "mind-read," draw conclusions and make value statements. For example: "8:45-8:50 During passing period three teachers came to front desk, complained to secretary about assembly this afternoon, particularly upset about 'not receiving notice until this morning.' 9:15 Another teacher upset about assembly and exam she planned. She told secretary, 'Tell Mr. Thomas (Assistant Principal) I plan to keep my kids in class until they finish the test then I will bring them to the assembly." If gathered objectively, the descriptive data about environment and staff and student behavior and attitudes can be fair and useful information to record on the Performance Criteria Feedback Form and discuss with the principal during the post-observation conference.

The interjection of a new person, particularly the principal's supervisor, can inhibit conversation and activities. From the principal who alters the tasks of the day so as to impress the evaluator, to the teacher who saves that problem until tomorrow, some behaviors will be modified. Yet, studies of principal behavior and shadowing indicate that the most notable behavior modifications occur during the first hour or so of shadowing and that proper shadowing does produce typicality.[6] When the shadowing process extends beyond the one to two hour timeframe, occurs more frequently than "every year or so," and when the process is explained to faculty prior to the visit, enough typicality can be found to make shadowing a worthwhile investment of time. However, the shadower must remember that his/her role is observer, not interactor. The good observer "fades into the woodwork" and operates from a distance just far enough away to hear conversations, but not so close as to be obtrusive.

Scheduled observations should last from one-half to a full day and should occur at least once a school year. Prior to the observation, the evaluator should contact the principal and agree upon a time convenient to the principal. The evaluator and principal should also agree ahead of time on any specific tasks to be observed. For example, classroom supervision and post-observation conferencing are commonly expected roles of most principals. Most evaluators wish to observe and document the instructional improvement skills linked to these roles. To do so, the evaluator must observe the principal's skills in observational notetaking, transfer of the notes to a feedback form if appropriate, and conferencing. Therefore, on the day of the shadowing, the principal will schedule a classroom observation and a feedback conference so the evaluator can observe the related skills.

In the evaluative process, scheduled observations provide data which might not be found in unscheduled observations. The scheduled observation also permits the principal to be

in the "driver's seat," to know what to expect and to have a "chance to shine." Scheduled observations represent an honest effort to be as fair as possible while still collecting data necessary for development. These benefits make scheduled observations an important data collection mode in the evaluative process.

Feedback Form

The Formative Feedback Form, often called the Performance Criteria Feedback Form, provides the format for documenting skill performance associated with each criterion. The form should list each criterion and provide adequate room for the evaluator to transfer from the observational notes to the Formative Feedback Form specific examples of behaviors which indicate whether the principal did or did not demonstrate skills related to the criterion. The Formative Feedback Form is not a duplication of the observational notes, nor are the functions of the two the same. The observational notes are documentation of skills, in context, as they chronologically occurred. They are as specific as possible. The Formative Feedback Form is a representative sample of skills grouped according to expectation (criterion).

Presented below are a few lines from the observational notes of an evaluator. Following the notes are data selected for transfer to an appropriate criterion.

Observational Notes

Time: 7:20 AM Location: Hallway
Storm Damage Repairs

Principal and Custodian reviewing repairs from last night's thunderstorm.
Walking down the north corridor. Water damage on ceiling and wall.
Custodian: The main leak was in this area, right up there.
Principal: I'm glad you found... and mopped before students arrived.
Custodian: Yeah, I've called maintenance, they'll be out later this morning.
Principal: What other damage...
Custodian: One window pane...front side near main entrance.
Principal: That's a pretty noticeable area. I'd like...repaired ASAP. If maintenance swamped today, get glass...do it ourselves today.
Custodian: O.K. I'll pick up the glass later this a.m..
Walking back toward office.
Principal: I really appreciate...coming in early this morning and checking... Any other problems?
Custodian: No, none I've noticed. I'll keep checking.
Principal: Let me know if...need help with that pane--or getting maintenance on the stick. I've had practice--at both. Ha. Ha.

The above discussion and behaviors might be recorded on the Formative Feedback Form in the following manner.

Formative Feedback Form

Criterion: Ensures that school plant and facilities are conducive to a positive learning environment.

> Discussing/reviewing storm damage: "I'm glad you found this and mopped it up before students arrived." "That's a pretty noticeable area. I'd like to get that repaired ASAP." Volunteered to help custodian install glass.

Data from this conversation might also be applicable to criteria for interpersonal relationships, communication skills, standards of expected performance, and/or day-by-day operation of the school. In other words, information obtained and recorded on the observational notes may be used to demonstrate skill on more than one criterion.

The post observation conference should be conducted using the Formative Feedback Form as the primary basis for structuring the conversation and the observational notes as the secondary source. The principal deserves to know whether he/she did or did not demonstrate a specific expectation--the Formative Feedback Form provides that information. The Feedback Form is an important document for understanding skill performance and thus improving performance. For that reason, the time necessary to transfer data from the more general observational notes to the more specific Feedback Form are minutes well invested. Data may not be available for some criteria after an observation. If so, write "no data" or "not observed" after the criterion. A sample Performance Criteria Feedback Form is provided in the Appendix.

Conference

A purpose of the post-observation conference is to promote communication between evaluator and principal about each criterion. Often called a feedback conference, the most effective post-observation conference is not a feedback conference in the literal sense. Feedback implies that the evaluator will "tell" the principal what was observed, what was good, what was bad. However, the most effective conference is based upon internal, not external motivation for improvement. The skilled evaluator promotes this internal motivation by involving the principal in the discussion and promoting self-assessment of skill through inquiry, probing questions and comments. The effective post observation conference is more accurately described as a self-assessment, coaching conference than as a feedback conference.

When feasible, the post-observation conference should be conducted within two working days after the observation.[7] Conducting the conference promptly demonstrates the priority given to the issue by the evaluator. The principal interprets the priority as an "importance" sometimes linked to self-worth. Principal anxiety is also reduced when the conference is prompt.

The performance criteria listed on the Formative Feedback Form serve as the outline for the conference questions and comments. Blending the principal's self-assessment made during the conference discussion with the observed data presented and discussed during the conference merges perception with reality in a palatable manner for the principal. Using the Formative Feedback Form as the outline for the conference also eliminates a sometimes conscious, sometimes unconscious psychological nemisis. Too often evaluators spend the first thirty minutes of a post-observation conference discussing all the "good" skills and save the "bad" skills for the last few minutes. Many educators have come to expect and accept this as standard operating procedure. But such

procedure promotes inattentiveness during the "strokes" due to anxiety while awaiting the "zingers." If the evaluator follows the criteria in the order they appear on the form, the "strokes" and "zingers" are not patterned, promoting more attentiveness and better communication during the conference.

The post-observation conference is a skill improvement conference, with emphasis on diagnosis and related improvement strategies. Many of these strategies become informal suggestions for the principal. If the suggestions are of significant concern, the evaluator has the obligation to communicate that concern to the principal and formalize the concern as a Growth Plan. In P/OBPE any concern which is significant and might lead to a "below expected performance rating" on the Summative Evaluation Report is formalized as a Growth Plan during the Formative Phase. Requiring Growth Plans during the Formative Phase for any significant concern eliminates surprises during the Summative Phase.

The conclusion of an effective conference should include a summary of the main points discussed during the conference. The skilled evaluator "checks" the understanding of the principal to be sure both are attuned to the issues and strategies discussed. The principal receives a copy of the Formative Feedback Form.

Unscheduled Observations

In the scheduled observation, the principal knows prior to the visit when the evaluator will arrive and some of the specific roles the evaluator would like to observe. In the unscheduled observation, the principal is unaware the visit is forthcoming, thus providing more opportunity for "typicality" than with the scheduled observation. Except for this difference in procedural planning and the opportunity for the principal to prepare for the observation, the two types of on-site observations are identical. During the unscheduled and scheduled observation the evaluator should take detailed observational notes. Following the observation, the notes should be transferred to a Formative Feedback Form regardless of the type of observation. Following the transfer of notes, a post observation conference should be conducted.

Non-Observed Data

Most data collected for the purpose of developmental evaluation are observed or solicited by the evaluator. Examples of the observed data are discussed above as "Scheduled" and "Unscheduled" Observations. Solicited data are discussed in the following section of this paper under the title of "Artifact" data. The other form of appropriate data for developmental evaluation are described rather figuratively as "Non-Observed Data." Non-Observed Data are the information relevant to the principal's skills and/or the schools goals which are not observed first hand by the evaluator, nor were they purposefully sought as pertinent information. This category is a "catch-all" for the useful information which foresight could not predict would be useful. Most frequently, the non-observed data include letters from parents, phone calls, conversations at civic organizations, parent concerns expressed at Board meetings, etc. These data can generally be classified as unsolicited comments and correspondence made or sent to the principal or the principal's supervisor.

As with any type of complaint, the evaluator and principal must discuss the issue and place it in proper perspective. The obligation of the supervisor is to share the complaint or compliment with the principal as soon as feasible. This is particularly

important if the non-observed data present a concern which is significant in the mind of the evaluator. As with all data collected in the evaluative process, any information which might present a "less than expected" rating on the summative evaluation must be shared as soon as feasible, discussed and translated into a growth plan. A rule of thumb to remember about all forms of data collection in the P/OBPE process: "If the evaluator did not write it down and discuss it with the principal, it didn't happen."

Artifact Data

Artifact Data are certain types of information typically identified prior to the beginning of the evaluative process and serving as tangible evidence of skill performance or goal accomplishment. The most common types of artifact data are staff, student and parent surveys or inventories; staff and student attendance records; student test data; faculty evaluation forms; committee minutes and reports; parent, student and staff letters, memos, newsletters; newspaper clippings; staff, student, administrator rewards and recognitions; and principal time logs. When feasible, the principal should know prior to the beginning of the school year the types of artifact data that will be required so arrangements can be made to collect those data.

Artifact data are summarized on a Formative Feedback Form, as are all data pertinent to the Formative Phase. The data should be discussed in conference with the principal. This discussion can often occur during a post-observation conference for a scheduled or unscheduled on-site observation. Some evaluators also find it useful to discuss artifact data at the end of the school year. To prepare for that discussion, they ask the principal to collect, analyze and summarize the artifact data. The evaluator then reviews the summary and seeks clarifying information during the conference. As with all data collected, if the evaluator has a concern about the principal's performance, the concern should be translated into a Growth Plan.

Growth Plan

Performance/Outcome Based Principal Evaluation is designed procedurally to detail expectations and provide personnel with data pertinent to performance on those expectations. One of the most critical steps in the process is the opportunity to improve a skill prior to the Performance Criteria Summative Evaluation. The Formative Phase is the "growth" phase and at the hub of this growth phase must be a strategy for promoting growth. Many districts refer to the improvement plan as a "Growth Plan." Others may describe the plan as a "Professional Development Plan," a "Professional Improvement Plan," a "Job Target," a "Personal Growth Plan," or any of several terms usually formed around the adjectives of "professional, personal, improvement and growth."

The Growth Plan can be defined as the "vehicle for personal skill improvement." The Growth Plan is based upon a desire to improve a particular principal skill (criterion) and is applicable to all personnel. P/OBPE procedures reinforce the importance of on-going growth for each principal, regardless of current skill level. From the most effective principal, to the least effective, each will have one or more growth plans during the Formative Evaluation Phase. This philosophy is consistent with the developmental nature of P/OBPE and the focus of time and energy on the Formative Phase, rather than the more traditional focus on the Summative Phase. The adage, "You don't have to be ill to get better," effectively describes the philosophy for Growth Plans.

Skill Improvement

The manner in which a Growth Plan is developed reinforces the philosophy. For a principal who has a skill (criterion) which is obviously deficient, the evaluator and principal discuss the concern and jointly prepare the Growth Plan. For the principal who does not have an obvious area of deficiency, the evaluator and principal discuss the various criteria to determine which criterion would be most appropriate to enhance. Both principals will have Growth Plans, with both Plans developed collegially. The evaluator maintains the position as the "final authority" should a disagreement evolve, but the hierarchial roles of "supervisor" and "subordinate" can be effectively eliminated in most Growth Plan conferences by the skilled evaluator.

The preparation of a Growth Plan usually invovles three major steps. Following an overall discussion of the issue and clarification that the issue will be written as a Growth Plan, the criterion for improvement is identified and written on the form. Almost simultaneously the objective or objectives to be achieved relative to the criterion are identified, discussed and written. To say that one or the other, i.e. the objective or the criterion, should be identified first is a "chicken or egg" controversy and is superfulous because in some instances the criterion is the most apparent issue and in others the improvement objective is more apparent and leads the evaluator and principal to the appropriate criterion. Both the criterion and the objective must be written; when one is identified, the other usually follows. Generally, the verbage for the objective can be found in one of the "descriptors" provided with the criterion. Therefore, the first step in preparing the Growth Plan is to discuss the issue for imprvement then refer to the listing of Performance Areas, Criteria and Descriptors for the verbage to use on the form. In all instances, the appropriate Performance Area and Criterion should be stated verbatim from the listing and usually, the descriptors will provide the verbage for the objectives. If not, then a statement of objective should be developed which is appropriate to the skill to be improved.

The next step in Growth Plan preparation is the most critical and the most difficult. To be effective, a Growth Plan should include a series of strategies for improvement, i.e. a procedural "game plan."

Most Growth Plans are written to improve a particular administrative skill. But before the skill can be improved, an appropriate knowledge base must be developed. Often, the procedural game plan for most knowledge and skill improvement can be divided into four groupings of activities designed to promote adult education. The activity groupings are (1) providing resources, (2) checking for comprehension, (3) providing for practice, and (4) providing feedback.

Providing educational resources to increase a knowledge base may involve the obvious activities of identifying periodical articles, books or audio-visuals for the principal to read or review. Other common educational resources include workshops, university courses or professional meetings and conferences. The not-so-obvious resources, commonly coupled with the more substantative readings, often promote the most effective knowledge growth. These not-so-obvious resources include supervisor modeling, peer modeling, peer observatioins, peer discussions, visitations to other schools or to businesses or industries, etc. The purpose for providing the resources is to increase a principal's understanding of the rationale and performance of a skill. To simply tell someone to change a behavior seldom results in lasting change. To educate the person about the behavior, the value of the behavior and the value of the change so understanding is developed and motivation comes from within is a positive step toward lasting change.

Once efforts have been made to develop a knowledge base, the evaluator should check to ensure the knowledge base is adequate. This "check for comprehension" usually takes the form of a conference. Sometimes a written assessment is appropriate, but generally a detailed discussion of what was garnered from the resources is adequate.

Depending upon the skill and the degree of comprehension, the evaluator will suggest independent or guided practice to develop and refine the skill. For most adults, the evaluator fades out of the picture for a period of weeks and permits the principal to independently develop and refine the skill. Professional courtesy and distance at this point, rather than close, "big-brother" supervision is usually more effective. The principal feels like he/she is being treated as a professional when the distance is maintained until the principal has had an adequate amount of time to develop and refine the skill.

Scheduled and unscheduled observations are the most common sources of feedback data for a Growth Plan. Often, observations associated with a particular skill are focused observations of shorter duration than the more typical scheduled or unscheduled observations. The briefer, focused observations for the purpose of Growth Plan feedback should not be used as a substitute for the more general scheduled and unscheduled observations. For example, if the Growth Plan objective is to improve notetaking skill during classroom observations, the evaluator may be on-site for the observation for only an hour to observe that particualr skill. This hour visit should not displace the more lengthy and general scheduled or unscheduled observation.

The final step in the preparation of a Growth Plan is determination of the appraisal method and the timeframe for completing the Plan. The appraisal method and timeframe are usually evident in each of the steps in the procedural "game plan." However, clarification is appropriate and might be stated as follows: "The principal will begin refinement of his notetaking skills within the next two weeks. The resources described above will be reviewed this week, the workshop will be attended next month. The evaluator will observe the skill level twice next month and at least once near the end of this semester. A review of the skill level will be made next spring, at which time the Growth Plan will be completed if skill level is adequate."

In the preparation of a Growth Plan, the evaluator and principal should remember that change occurs slowly, and internalization of change, even slower. Therefore, the evaluator should never be in a hurry to conclude a Growth Plan. If the desired skill improvement is significant, time for internalization of the skill msut be provided. Utilize "short-term" and "long-term" target dates when writing the timeframe section of the Growth Plan. The "short-term" date is the point in time by which the skill should be demonstrated or implemented. The "long-term" date is the point in time by which the skill should be internalized, and is the desired completion date for the Growth Plan. As most evaluators learn, lack of time for internalization of the skill usually means rewriting the same Growth Plan next school year. Save time -- by giving more time.

The Growth Plan does not have to be completed during the current Formative Phase or before the upcoming Performance Criteria Summative Evaluation. A Growth Plan should extend as long as needed to significantly improve the skill. If the Growth Plan is still in progress when the Performance Criteria Summative Evaluation Report must be prepared, the evaluator must judge the degree of improvement and the current level of skill at the time of the report, just as the evaluator must do for all criteria, regardless of whether a Growth Plan was written.

A Growth Plan does not necessarily mean a rating of "below expected performance" on the Performance Criteria Summative Evaluation. The Growth Plan may reflect an "enhancement" of an already solid skill; or, the previously deficient skill may now be very solid. The Growth Plan may have resulted in significant improvement before the Performance Criteria Summative Evaluation was completed. But if the skill is deficient, a rating of "below expectations" can be given only if a Growth Plan was developed and opportunity to address the deficiency was provided.

Attitude Adjustment

An "attitude" is a behavioral reflection of what is inside the mind. Some Growth Plans require a focus upon "attitude adjustment" before progress can be made on improving a skill. When the motivation to improve is not internal, the principal may resent and/or resist the desired Growth Plan being suggested, and often required, by the evaluator. Occasionally, such resentment results in a lack of cooperative effort by the principal. An attitude of "I don't want to work on this plan; I do not have a problem in this area and do not see the need to improve this criterion," can cause consternation for the evaluator. Yet, the evaluator has the final authority as to which criteria are, or are not, developed into Growth Plans. Therefore, the evaluator must be prepared to be assertive and work through this "attitude adjustment" phase before progress can be made on improving the skill level of the desired criterion.

A nice, tidy means for categorizing "attitude" problems is difficult. Attitude problems are often present in insecure, less skilled principals who have particular difficulty with "interpersonal skills." But attitude problems surface in so many varied ways, definitive strategies for resolving them are non-existent and the successes less frequent than with Growth Plans in which an attitude problem does not exist. The odds of success on an "attitude" encumbered Growth Plan are proportional to the severity of the principal's attitude problem and the intuitive and interpersonal skills of the evaluator. However, since most attitude problems begin with a denial that a problem exists, some suggestions can be provided to guide the evaluator through these most difficult types of Growth Plans.

First, the concern of the evaluator that an attitude problem exists must be discussed frankly. The evaluator has the obligation to share his/her perception about the attitude problem and give specific behavioral examples which support the evaluator's belief that the principal has an attitude problem requiring adjustment before an effective level of skill can be achieved on a given criterion. This "discussion and identification of concern" should represent a sincere effort by the evaluator to help the principal understand the concern and work toward changing that concern. The discussion should be private and the evaluator should utilize effective active listening and counseling skills to assist the principal in understanding the problem and developing the motivation to address the problem.

Though a principal may be aware a skill is deficient, the principal may have a negative attitude about improving a particular skill because he/she has been trying for years to resolve the deficiency. Improving this form of negative attitude has a high success ratio because changing the attitude and improving the skill are directly related to the development and implementation of effective strategies for improving the skill. At the other extreme is the principal who does not believe the problem exists, but believes the problem is the evaluator's, rather than the principal's, skills. When this is the situation, the chances for successful resolution diminish because motivation to change is not present, nor likely to be present. The principal is often defensive and implies the

evaluator is biased, prejudiced or incompetent. The principal sincerely believes the problem is the evaluator's, not the principal's.

Unfortunately, the evaluator's attitude or skill is sometimes the problem. Each evaluator must understand his/her skills, attitudes and shortcomings and be willing to make an honest assessment of those skills and attitudes before effectively evaluating others. If an evaluator works with several principals and more than one has a perceived attitude problem, or "personality conflict" with the evaluator, the evaluator must assess his/her own skills to be certain the problem is the principals', not the evaluator's. An attitude problem with more than one principal is often symptomatic of the evaluator's skills rather than the principals'.

Assuming the evaluator is competent and not prejudiced toward the principal, the next step is to "promote introspection" by the principal. The purpose of this step is to facilitate the principal's understanding of the problem and promote internal motivation to resolve the problem by asking the principal to "assess" his/her skills. To promote this self-assessment, the evaluator may encourage or require a written assessment, including data to support the assessment. Examples of supportive data include school records, solicited verbal and written comments, pertinent informal comments, perceptions of school personnel and community members. The evaluator should also prepare a written assessment of the problem, providing specific examples related to the concern.

The evaluator and principal should then "discuss" the assessments. The discussion provides the evaluator with the opportunity to better understand the principal's perspective on the issue, focuses attention on data collected regarding the issue and clarifies the evaluator's perception of the issue. When both principal and evaluator have developed an appreciation for the issue and each other's perceptions of the issue, they should work together to identify the specific objective or objectives for the Growth Plan. The identification of the objectives, after the attitudinal concerns have been addressed, places the "attitude" Growth Plan back in alignment with the typical "skill" Growth Plan discussed in preceding papragraphs, i.e. the objectives, criteria and performance area are identified; the strategies for reaching the objectives are listed, including resources, comprehension checks, provision for practice and feedback; and, the appraisal methods and short and long term target dates are identified.

Growth Plans are "the vehicle" for professional improvement on a given criterion. A Growth Plan may be initiated by the principal or the evaluator, but should be developed collegially by both. Too often supervisors are reluctant to address attitude problems directly assoicated with specific criteria, ignoring the existence of the problem during the development of a Growth Plan. Yet, seldom is quality skill improvement made if negative attitudes prevail. An attempt to resolve the attitude problem should be the first step when such a problem exists. Though the attitude problem may never be resolved, an honest effort to confront the problem, discuss it sincerely and try to resolve it is a professional approach to addressing a difficult issue and enhances the chances for the desired skill improvement to be meaningful and lasting. For the growth of the principal and the betterment of the school, an honest effort should be made.

FORMATIVE PHASE -- SCHOOL GOALS

School goals represent desired organizational outcomes for the school year over which the principal can have some impact. They are building issues, not personal skill goals of the principal. Several school goals are identified each year by the principal with input

from staff and sometimes community. The identification and development of the goals are described in an earlier section of this paper. This section provides suggestions for assessing and modifying progress toward goal accomplishment.

Assessing Goal Progress

During the Formative Phase, progress toward accomplishment of the goals is monitored, with a formalized enroute assessment made at least once each year for each goal. When the enroute assessment is made, the principal describes the progress made in achieving the goal on the School Goal Progress Form. The principal makes this initial assessment because the principal should know, better than anyone else, the degree to which the goal has been accomplihsed. The principal should also provide supportive data for that judgment.

After the principal's written assessment, the evaluator and principal discuss the progress and the evaluator adds his/her written comments regarding progress on the School Goal Progress Form. Because several goals have to be assessed each year, the evaluator will typically cover all goals in one conference, discussing each goal individually, based upon the principal's written assessment. Some goals may require more than one enroute assessment during a school year. For each assessment, the same process should apply, i.e. principal written assessment, followed by discussion and evaluator written assessment using the School Goal Progress Form.

School Goal Modification

During a school year, the evaluator and principal may realize that particular strategies designed to achieve a goal are inappropriate and should be modified. At times even the goal statement may require revision. When modification is required, the principal and evaluator should collegially develop the revised goal just as they collegially developed the initial goal. The goal should be written on the School Goal Form and assessed enroute on the School Goal Progress Form.

SUMMATIVE PHASE

The Formative Phase is the "developmental component" of P/OBPE; the Summative Phase is the "judgmental component." Within the Formative Phase, data are collected, conferences are held, improvement plans are adopted and effort to improve prevails. In the Summative Phase data must be synthesized to make decisions regarding performance on each criterion (expectation) and accomplishment of each school goal (desired school outcome.) The Formative Phase ends when the Performance Criteria Summative Form and the School Goal Summative Forms are prepared and discussed. A new Formative Phase begins at that time. Because of the judgmental nature of the Summative Phase, a higher than typical "anxiety level" is usually present, making it more difficult than in the Formative Phase to promote positive attitudes about improvement. Therefore, the time and focus on the Summative Phase should be minimal, transitioning thinking back to the formative activities as soon as possible.

Summative Phase -- Performance Criteria

The Performance Criteria Summative Form serves as the format for making judgments about each of the evaluative criteria. The form provides a listing of each criterion and a

descriptive continua of accomplishment for each criterion from "does not" demonstrtate the skill to "consistently" demonstrates the expected skill. The "consistently" descriptor reflects solid, effective performance on the given skill and is the desired level of performance. The continua does not include any statement or inference to traditional evaluative terms such as "average, typical, moderate." In P/OBPE the goal is for all principals to achieve this "performance expectation" level. The levels do not represent a "normal curve" in which a given percent of the principal ratings should fall.

In completing the Performance Criteria Summative Form, the evaluator should remember that a principal should not be rated "below expected performance" unless the deficiency has been previously identified and addressed through a Growth Plan. If the principal is not meeting expected levels of performance for the criterion when the summative evaluation report is prepared, then the principal should be rated below expected performance.

After completion of the Performance Criteria Summative Form, the principal and evaluator should discuss each criterion and rating, including any additional suggestions for improving specific skills. If additional suggestions to improve deficiencies are made, they should be formalized through revision of the Growth Plan developed during the Formative Phase. On occasion, a Growth Plan may evolve from a Summative Conference when the concern was not evident during the Formative Phase. In such a case, the principal should be evaluated at "expected level" on the Performance Criteria Summative Form because the deficiency had not been previously identified and addressed through a Growth Plan. A Growth Plan can be written after the Performance Criteria Summative Form is completed to address the issue during the next Formative Phase.

Performance Criteria Summative Evaluations are typically conducted at the conclusion of the school year. However, some districts prefer to make employment decisions in January or February, in which case the Performance Criteria Summative Evaluation Form would be completed in December or January. Performance Criteria Summative Evaluations may also be conducted at any time deemed appropriate by the evaluator. This flexibility provides the opportunity for formal communication about level of performance at the most appropriate time. This flexibility is in the best interest of the principal and the district. For example, if a district summatively evaluates principals every three years and a concern about performance is significant enough that job security is threatened, completion of the summative form formalizes that concern, ensuring that the principal understands the concern and protecting the district against claims that the severity of the problem was not known by the principal.

Summative Phase -- School Goals

The School Goals Summative Form provides the format for documenting the degree to which each of the annual School Goals are accomplished. The School Goals Summative Form is completed at the end of the school year, regardless of when contractual decisions are made. For example, some school systems prefer to finalize evaluation procedures in December or January so contracts can be offered in February or March. In P/OBPE, completion of the Performance Criteria Summative Report may be accomplished on a January through December calendar; however, the School Goals Summative Report represents accomplishments during a given school year, not calendar year. The School Goals Summative Reports should be completed at the conclusion of the school year and the summative conference should be conducted at that time. If employment decisions are made in January, the School Goals Summative Reports are then filed as pertinent data to

be used in January in conjunction with the Performance Criteria Summative Report so employment status can be determined.

Because the typical "educational calendar" is July through June, the most efficient evaluative cycle coincides with the educational school year. In this cycle the Formative Phase would continue throughout the months of the school year and conclude with a Summative Phase for Performance Criteria and School Goals at the end of the school year. For the vast majority of effective principals, this timeframe is the most appropriate. For an individual who is not effectively completing the functions of the job, and for whom there is question of whether a contract should be offered the individual for the next year, a Performance Criteria Summative Report can be completed in December or January. For the same individual, the School Goals Summative Reports of the previous year would be the most recent appropriate data.

At the conclusion of the School Goals Summative conference, discussion about goals for the next year may be appropriate, particularly for those goals requiring more than one year for completion. During this June conference, the principal may wish to talk at length about next years goals, having previously obtained staff input about the goals.

CONTRACTUAL PHASE

The Contractual Phase represents the determination of employment status by the Board of Education and the issuance of contracts for the next contractual period. Many principals have "continuing" tenured contracts, though often tenured as teachers rather than principals. Whether required by state law, established by Board policy, or out of practical necessity to determine how many new administrators need to be hired for the upcoming year, the contractual phase is usually completed by early spring. As described in the previous section on the Summative Phase, this timing does not coincide well with assessment of skill or goal accomplishment. Offering of contracts in early summer correlates best with developmental evaluation, but is generally considered impractical for employment decisions. Individual districts must determine a timeframe based upon local needs and expectations.

Regardless of the time when the contractual decision is made, the basis for the decision should be the data represented on the Performance Criteria Summative Form and the School Goal Summative Forms. To determine employment on any basis other than the findings in these Forms would be unfair to the principal. The P/OBPE process promotes fairness through data collection, conferencing, opportunity for improvement and summative decision making. To ignore this process and the relevant data at the time of employment decision making would be unjust unless extenuating circumstances exist such as reductions in force due to enrollment changes or financial shortfalls.

PERSPECTIVE

A 1986 survey of superintendents of 186 school systems using evaluative procedures similar or identical to the P/OBPE process described in this paper found that principals' attitudes about the P/OBPE process were very positive and related to the procedural steps included or excluded during the process. Specifically, principals attitudes were most positive in distrcits where (a) a committee was used to develop the system, (b) notes were taken during on-site observations and transferred to a feedback form, (c) post observation conferences were required, (d) growth plans were necessary before a rating of below expectations could be given, (e) school goals were developed, and (f)

evaluators had more training in evaluative processes and skills.[8] In essence, the more directly the evaluative system resembled the P/OBPE procedures described herein, the more positive were the attitudes of the principals and the greater the potential impact for the school and students. P/OBPE is not a panacea, but it is a step in the right direction -- a step to improve schools by improving school principals.

Reprint only with written permission of the author (Jerry Valentine, 218 Hill Hall, University of Missouri, Columbia, Missouri, 65211, phone 314/882-3406.) The content of this paper is the basis for a Performance/Outcome Based Principal Evaluation booklet, being prepared for publication in the summer, 1987. For more information about the process and related written or audio visual materials, contact the author at the above address.

Notes:

1. The author has had the opportunity to assist in the development and refinement of P/OBPE strategies in individual districts across the country and in state projects in Missouri, 1983 and Kentucky, 1986.
2. Jerry W. Valentine, "Performance/Outcome Based Evaluation of Principals," Paper presented at the National Middle School Association Annual Convention, Atlanta, November, 1986.
3. This definition and related terms and procedures for performance/outcome based evaluation of principals was developed by the author in 1984 to blend the concept of school outcomes with the more typical performance evaluation process. See Jerry W. Valentine and Michael L. Bowman, Performance Based Principal Evaluation: A Manual for Principal Evaluation, Columbia, Missouri, April, 1984, copyright, 1984 by authors.
4. Jerry W. Valentine and Roger D. Harting, "Performance Evaluation For Principals: A Look At Missouri's First Year,"and Jerry W. Valentine and Roger D. Harting, "PBTE: A Positive Influence on Missouri Education." These state-wide studies of the Missouri teacher and principal evaluation procedures were conducted in the summer, 1986 and will be printed in the next issue of Missouri Schools, Missouri Department of Elementary and Secondary Education, Jefferson City, Missouri. See also, Nicholas A. Ginos, "The Relationahip of Inservice Training to Effective Teacher Evaluation," Ed.D. Dissertation, University of Missouri-Columbia, 1985.
5. Jerry W. Valentine, "Teacher Input in School Development," Leadership Academy Luncheon Speech, Missouri Department of Elementary and Secondary Education, Jefferson City, Missouri, November, 1985. See also Jerry Valentine, "Building Level Faculty Committees," September, 1985, published for inservice training in Principal Evaluation by the Missouri Department of Elemenatary and Secondary Education, 1985-87.
6. Jerry W. Valentine, "The Relationship of Administrative Verbal Behavior and Organizational Climate," Ph.D. Dissertation, University of Nebraska-Lincoln, 1973. Ronald E. Kettler, "An Analysis of Principal Verbal Behavior," Ed.D. Dissertation, University of Missouri-Columbia, 1982.
7. Ginos, op.cit.
8. Jerry W. Valentine and Roger D. Harting, "Performance Evaluation For Principals: A Look At Missouri's First Year," Missouri Schools, Missouri Department of Elementary and Secondary Education, Jefferson City, Missouri. in press.

APPENDICES PREFACE

The following pages provide examples of Performance/Outcome Based Principal Evaluation forms developed by committees of administrators, teachers and community members in various school systems across the U.S. Also included is a statement of philosophy (below) and a listing of criteria and descriptors. All material are provided as examples of the material developed to implement P/OBPE as described in the narrative portion of this paper.

Development of a statement of philosophy is an initial step in the development of a Performance/Outcome Based Principal Evaluation system. The philosophy was developed in 1987 by a committee of administrators, teachers and community members in a suburban school system. Such statements provide a basis for understanding the belief structure behind a P/OBPE system and for making sound pedagogical decisions during the development of the remainder of the system.

P/OBPE PHILOSOPHY STATEMENT

Effective performance based administrator evaluation is an important component of the school system's commitment to provide each individual with the opportunity to develop to his or her potential. This evaluation is an on-going process with defined procedures which are collegially developed, research based and improvement oriented. This evaluative process identifies strengths and provides direction for improving skills and accomplishing building and district goals. Areas to be evaluated are attainable, measurable, and job related. The primary purpose of performance based evaluation is to enhance student learning through improved educational leadership and school management. Successful administrator evaluation includes continued support and commitment of resources.

After development of a statement of philosophy, the [illegible] committee should identify "expected" skills (criteria). The Criteria are identified, grouped as Performance Areas and then clarified by adding Descriptors.

PERFORMANCE AREAS, CRITERIA AND DESCRIPTORS

I. INSTRUCTIONAL LEADERSHIP

The Principal

A. Provides direction for the school and educational program.
   1. Articulates school philosophy effectively.
   2. Ensures use of needs assessment data in goal development.
   3. Ensures societal needs are reflected in goal development.
   4. Ensures faculty involvement in the identification and development of goals.
   5. Provides for the implementation and monitoring of goals.
   6. Ensures the development of short and long range goals.

B. Provides for on-going staff development.
   1. Involves faculty in assessing, identifying and implementing staff development needs.
   2. Promotes staff awareness of new developments and ideas in education.
   3. Promotes staff development activities which focus upon the teaching/learning process.

C. Provides for effective curricular leadership.
   1. Ensures the assessment, identification and development of curricular offerings based on student needs and achievement data.
   2. Participates in grade level, department and district curricular committees.
   3. Is knowledgeable of general goals and objectives of district and state curriculum.

D. Provides for improvement of instruction through the use of PBTE strategies.
   1. Understands the learning process and effective teaching strategies.
   2. Understands the importance of the relationship between the learning process and effective supervisory skills.
   3. Observes classroom instruction on a planned basis.
   4. Demonstrates effective observational notetaking skills.
   5. Provides regular feedback through effective conferencing skills.
   6. Assists staff in the formulation and implementation of a Professional Development Plan.

E. Provides for the management of instruction.
   1. Directs faculty implementation of instructional goals and objectives.
   2. Ensures that the education of students is based upon instructional objectives.
   3. Ensures monitoring of student progress toward achevement of the objectives.
   4. Ensures that instructional time is protected.

F. Provides for effective organization of personnel to meet curricular needs.
   1. Recommends new faculty who compliment existing faculty and meet building needs.
   2. Seeks and considers faculty input in curricular assignments to meet programs needs.
   3. Assigns faculty according to student needs and professional skills.

G. Provides leadership for positive educational change.
   1. Encourages change designed to enhance the learning environment.
   2. Establishes a systematic process for change that is known and understood by staff.

3. Implements educational change through a systematic process of program review and revision.
4. Promotes program changes based upon student data.

II. Communicates and promotes standards of performance.
1. Communicates high academic expectations to students.
2. Communicates to teachers expectations for high instructional performance.
3. Communicates to parents/comunity the high expectations for the school.
4. Clarifies and models standards of expected performance.
5. Assesses the appropriateness of performance standards.

III. School Management

The Principal:

A. Provides for effective and efficient day by day operation of the school.
1. Prepares and executes short and long range plans that support the educational goals of the school.
2. Provides administrative procedures which are clear, easily understood and efficient.
3. Involves the staff in development and review of operational procedures.
4. Delegates appropriate responsibilities and tasks to the staff.
5. Promotes among classified staff an unerstanding of their role in supporting the instructional goals of the school.
6. Monitors effectiveness and efficiency of classified staff.

B. Maintains school facilities conducive to positive learning environment.
1. Identifies needed changes and improvement in school plant and facilities.
2. Identifies and monitors custodial operations that maintain a clean school.
3. Reports the need for, and encourages, quick repairs to facilities.
4. Promotes student pride in school plant appearance.

C. Provides sound fiscal management.
1. Involves faculty in developing and administering the school budget consistent with building goals.
2. Ensures that all fiscal transactions occur through a budgeted, encumbered process of fiscal management.
3. Ensures accuracy and punctuality of financial reports.

D. Promotes and mainatins a positive school climate.
1. Uses systematic procedures to assess the school climate and make changes as necessary.
2. Exhibits a positive attitude toward staff and students.
3. Promotes an atmosphere of cooperation, mutual trust and positive staff morale.
4. Promotes among staff and students feelings of pride and loyalty for the school.

E. Utilizes effective practices to promote desirable student conduct.
1. Promotes a positive philosophny and procedures of student management which are understood by faculty, students and parents.
2. Administers student disciplinary procedures in accordance with district discipline policy.
3. Ensures that student behavior expectations are described in student handbooks and clearly discussed with students by administration and faculty.
4. Provides feedback to teachers and parents regarding disciplinary referrals.
5. Encourages consistency in handling discipline with the understanding of the necessity for individualization.

F. Demonstrates effective organizational skills.
   1. Establishes priorities for use of time.
   2. Delegates authority with responsibility, as appropriate.
   3. Utilizes resources effectively.
   4. Handles administrative paperwork efficiently.
   5. Completes duties promptly and accurately.

G. Demonstrates effective skills in problem analysis, decision making and judgment.
   1. Identifies the problem before seeking a solution.
   2. Seeks relevant data and considers alternative solutions before making decisions.
   3. Identifies, analyzes and establishes priorities among pertinent elements in problem situations.
   4. Anticipates consequences associated with particular decisions and prepares accordingly.
   5. Recognizes when decisive action or ambiguity tolerance is appropriate and responds accordingly.
   6. Makes quality decisions based upon available information.
   7. Successfully implements decisions.
   8. Evaluates decisions.

H. Demonstrates effective communication skills.
   1. Communicates effectively with varied audiences.
   2. Establishes open lines of communication.
   3. Expresses, while speaking and writing, ideas which are clear, effective and grammatically correct.
   4. Expresses concern for the needs of others.
   5. Is receptive to the exchange of ideas.
   6. Expresses, tactfully, positions that differ from others.
   7. Provides information about relevant school issues and operations.

III. Interpersonal Relationships

A. Demonstrates positive interpersonal relations with students.
   1. Frequently interacts with students.
   2. Assesses students' attitudes about school.
   3. Reinforces positive student efforts.
   4. Creates an atmosphere where students feel free to initiate communication.
   5. Has the respect of students.
   6. Respects students' needs and concerns.
   7. Promotes student morale and pride.

B. Demonstrates positive interpersonal relations with staff.
   1. Frequently interacts with staff.
   2. Assesses staff attitudes about school.
   3. Reinforces positive staff efforts.
   4. Creates an atmosphere where the staff feels free to initiate communication.
   5. Has the respect of staff.
   6. Respects staff needs and concerns.
   7. Promotes staff morale and pride.
   8. Helps resolve conflict.

C. Demonstrates positive interpersonal relations with other administrators.
   1. Demonstrates professional courtesy.
   2. Works cooperatively with colleagues.
   3. Shares ideas, materials, and techniques with other administrators.

D. Demonstrates positive interpersonal relations with parents and community.
   1. Encourages parent input through organized parent groups.
   2. Communicates frequently with parents to maximize the school/home relationship.

3. Is visible at school functions and seeks oppotunities to interact with parents and partrons.
4. Develops and implements a systematic program of positive public relations.
5. Promotes cooperation and involvement of the community in the school.
6. Establishes open lines of communication between school and community.

IV. PROFESSIONAL RESPONSIBILITIES

A. Implements district programs, policies and procedures.
1. Uses appropriate channels for communication, decision making and resolving concerns.
2. Provides accurate and timely data and reports as is necessary for management purposes.
3. Completes duties in accordance with established job description.

B. Participates in professional growth activities.
1. Participates in professional organizations.
2. Attends workshops, courses, and seminars to further professional knowledge.
3. Contributes to the exchange of knowledge by assuming a leadership role in workshops and seminars, writing for professional literature, etc.
4. Maintains current knowledge through the reading of professional literature and taking adbantage of opportunities to learn from colleagues and staff.
5. Participates in district growth experiences such as workshops, courses, seminars, curriculum committees, etc.

C. Manages stress effectively.
1. Misses a minimal amount of work.
2. Seeks ways to relieve stress and anxiety.
3. Strives to maintain sound physical and mental health.
4. Handles stressful and adverse situations in a professional manner.

D. Demonstrates personal motivation and self-discipline.
1. Holds high expectations for self.
2. Models positive work habits and attitude.
3. Is open to suggestions for improvement.
4. Uses creative thinking in promoting positive change.
5. Invests the time necessary to effectively perform job responsibilities.
6. Is punctual.

E. Assumes responsibilities outside the school as they relate to school matters.
1. Attends curricular, co-curricular and extra-curricular functions beyond the regular school day.
2. Attends community meetings that contain impications for education such as city council meetings, and action group meetings.
3. Is a visible participant in community activities and service organizations.
4. Takes an active role in the political process when it involves a vote on school district issues.

(Note: This is a sample form. The criteria do not match the previous examples.)

FORMATIVE FEEDBACK FORM

Principal	School	Date
Time Observation Began	Time Observation Ended	Evaluator

INSTRUCTIONAL LEADERSHIP

A. Provides direction for the school.

B. Provides for management of instruction.

C. Effectively implements evaluation strategies oriented toward improvement of instruction.

D. Provides leadership for positive educational change.

E. Demonstrates effective skill in the recruitment, selection, and assignment of school personnel.

F. Promotes on-going staff development.

G. Communicates standards of expected performance.

H. Provides leadership for appropriate curriculum and organization of personnel to staff the curriculum.

SCHOOL MANAGEMENT

A. Provides for effective and efficient day-by-day operation of the school.

B. Ensures that school plant and facilities are conducive to a positive learning environment.

C. Ensures efficient management of building level fiscal resources.

D. Promotes and maintains a positive school climate.

E. Establishes and maintains effective discipline in the school.

F. Demonstrates effective communication skills.

G. Demonstrates effective problem-solving and decison-making skills.

H. Demonstrates effective organizational skills.

INTERPERSONAL RELATIONSHIPS:

A. Demonstrates positive interpersonal relationship with students.

B. Demonstrates positive interpersonal relationship with staff.

C. Demonstrates positive interpersonal relationship with other administrators.

D. Demonstrates positive interpersonal relationship with parents/community.

PROFESSIONAL RESPONSIBILITIES

A. Implements the policies and procedures of the district.

B. Participates in professional growth activities.

C. Demonstrates a sense of professional responsibility.

Comments:

Principal's Signature/Date

Evaluator's Signature/Date

NOTES: Signatures indicate the information has been read and discussed. After an observation, the evaluator should review each criterion and record statements, behaviors or activities observed which relate to the criterion. "N.O." should be recorded if related statements, etc. were "not observed." Data obtained at times other than during a scheduled or unscheduled on-site observation should also be documented on this form under the appropriate criterion, dated, and discussed with the Principal. (Copies: Principal, Observer)

PROFESSIONAL DEVELOPMENT PLAN

Principal School Date

1. PERFORMANCE AREA: (List Performance Area)

2. CRITERION: (List Criterion)

3. IMPROVEMENT OBJECTIVE(S): (Describe desired outcomes. Wording frequently comes from Descriptors.)

4. PROCEDURES FOR ACHIEVING OBJECTIVE(S): (Explanation of principal and evaluator responsibilities.)

5. APPRAISAL METHODS AND TARGET DATES:

COMMENTS*

Plan Development	Plan Achieved/Revised
Principal's Signature/Date	Principal's Signature/Date
Evaluator's Signature/Date	Evaluator's Signature/Date

NOTES: Signatures indicate the Professional Development Plan has been read and discussed by principal and evaluator. One Professional Development Plan should be used for each criterion for which improvement is desired. Any additional comments should be permanently appended to this form and initialed by principal and evaluator.

SUMMATIVE EVALUATION REPORT Principal_____
Date _____

Performance Area I: The Instructional Leadership

PERFORMANCE LEVELS

CRITERIA The Principal...	BELOW PERFORMANCE EXPECTATION		PERFORMANCE EXPECTATION
A. Provides direction for the school	Does not provide direction for the school	Sometimes provides direction for the school	Consistently provides direction for the school
B. Provides for management of instruction	Does not provide for management of instruction	Sometimes provides management of instruction	Consistently provides management of instruction
C. Effectively implements evaluation strategies oriented toward improvement of instruction	Does not effectively implement evaluation strategies oriented toward improvement of instruction	Sometimes effectively implements evaluation strategies oriented toward improvement of instruction	Consistently effectively implements evaluation strategies oriented toward improvement of instruction
D. Provides leadership for positive educational change	Does not provide leadership for positive educational change	Sometimes provides leadership for positive educational change	Consistently provides leadership for positive educational change
E. Demonstrates effective skill in the recruitment, selection and assignment of school personnel	Does not demonstrate effective skill in the recruitment, selection and assignment of school personnel	Sometimes demonstrates effective skill in the recruitment, selection and assignment of school personnel	Consistently demonstrates effective skill in the recruitment, selection and assignment of school personnel
F. Promotes on-going staff development	Does not promote on-going staff development	Sometimes promotes on-going staff development	Consistently promotes on-going staff development
G. Communciates standards of expected performance	Does not communicate standards of expected performance	Sometimes communicates standards of expected performance	Consistently communicates standards of expected performance
H. Provides leadership for appropriate curriculum and organization of personnel to staff the curriculum	Does not provide provide leadership for appropriate curriculum and organization of personnel to staff the curriculum	Sometimes provides leadership for appropriate curriculum and organization of personnel to staff the curriculum	Sometimes provides leadership for appropriate curriculum and organization of personnel to staff the curriculum

INSTRUCTIONS: Circle appropriate performance level. If the criteria is not applicable to job responsibility, a response is not necessary

CRITERIA The Principal...	BELOW PERFORMANCE EXPECTATION		PERFORMANCE EXPECTATION
Performance Area II: School Management			
A. Provides for effective and efficient day-by-day operation of the school	Does not provide effective and efficient day-by-day operation of the school	Sometimes provides for effective and efficient day-by-day operation of the school	Consistently provides for effective and efficient day-by-day operation of the school
B. Ensures that school plant and facilities are conducive to a positive learning environment	Does not ensure that school plant and facilities are conducive to a positive learning environment	Sometimes ensures that school plant and facilities are conducive to a positive learning environment	Consistently ensures that school plant and facilities are conducive to a positive learning environment
C. Ensures efficient management of building level fiscal resources	Does not ensures efficient management of building level fiscal resources	Sometimes ensures efficient management of building level fiscal resources	Consistently ensures efficient management of building level fiscal resources
D. Promotes and maintains a positive school climate	Does not promote and maintain a positive school climate	Sometimes promotes and maintains a positive school climate	Consistently promotes and maintains a positive school climate
E. Establishes and maintains effective discipline in the school	Does not establish and maintain effective discipline in the school	Sometimes establishes and maintains effective discipline in the school	Consistently establishes and maintains effective discipline in the school
F. Demonstrates effective communication skills	Does not demonstrate effective communciation skills	Sometimes demonstrates effective communication skills	Consistently demonstrates and maintains effective discipline in the school
G. Demonstrates effective problem-solving and decision-making skills	Does not demonstrate effective problem-solving and decision-making skills	Sometimes demonstrates effective problem-solving and decision-making skills	Consistently demonstrates effective problem-solving and decision-making skills
H. Demonstrates effective organizational skills	Does not demonstrate effective organizational skills	Sometimes demonstrates effective organizational skills	Consistently demonstrates effective organizational skills

CRITERIA The Principal...	BELOW PERFORMANCE EXPECTATION		PERFORMANCE EXPECTATION
Performance Area III:			
A. Demonstrates positive personal relationships with the students	Does not demonstrate positive personal relationships with the students	Sometimes demonstrates positive interpersonal relationships with the students	Consistently demonstrates positive interpersonal relationships with the students
B. Demonstrates positive interpersonal relationship with staff	Does not demonstrate positive interpersonal relationship with staff	Sometimes demonstrates positive interpersonal relationship with staff	Consistuntly demonstrates positive interpersonal relationship with staff
C. Demonstrates positive interpersonal relationship with other administrators	Does not demonstrate positive interpersonal relationship with other administrators	Sometimes demonstrates positive interpersonal relationship with other administrators	Consistently demonstrates positive interpersonal relationship with other administrators
D. Demonstrates positive interpersonal relationship with parents/community	Does not demonstrate positive interpersonal relationship with parents/community	Sometimes demonstrates positive interpersonal relationship with parents/community	Consistently demonstrates positive interpersonal relationship with parents/community
PERFORMANCE AREA IV: PROFESSIONAL RESPONSIBILITIES			
A. Implements the policies and procedures of the district	Does not implement the policies and procedures of the district	Sometimes implements the policies and procedures of the district	Consistently implements the policies and procedures of the district
B. Participates in professional growth activities	Does not participate in professional growth activities	Sometimes participates in professional growth activities	Consistently participates in professional growth activities
C. Demonstrates a sense of professional responsibility	Does not demonstrate a sense of professional responsibility	Sometimes demonstrates a sense of professional responsibility	Consistently demonstrates a sense of professional responsibility
COMMENTS:		COMMENTS:	

Principal's Signature/Date

Evaluator's Signature/Date

(Signatures simply imply that information has been discussed)

SCHOOL GOAL FORM

PRINCIPAL SCHOOL YEAR

SCHOOL CURRENT DATE

Goal Statement (State in general terms the goal to be achieved during the school year.)

Achievement Strategies (List specific steps to be followed to achieve the goal.)

Support Services (Identify physical, fiscal and/or personnel resources necessary to achieve the goal.)

Appraisal Method (What process will be used to assess achievement of the goal?):

Progress Conference Dates (When will the evaluator and principal discuss progress toward achievement of the goal?):

Summative Conference Date (On what approximate date will the evaluator assess achievement of the goal?)

Principal's Signature/Date Evaluator's Signature/Date

NOTES: Goal statements are typically drafted by the principal then disucssed and agreed upon by principal and evaluator. One Form should be used for each goal. Signatures indicate the information has been read and discussed.

SCHOOL GOAL PROGRESS FORM

PRINCIPAL _____ SCHOOL YEAR _____

SCHOOL _____ DATE _____

GOAL:

_____

PRINCIPAL'S ASSESSMENT OF PROGRESS TOWARD ACHIEVEMENT OF GOAL (Describe the progress made in achieving the goal.)

EVALUATOR'S ASSESSMENT OF PROGRESS TOWARD ACHIEVEMENT OF GOAL (Describe the progress made in achieving the goal.)

_____ _____

Principal's Signature/Date Evaluator's Signature/Date

NOTES: Typically, the principal responds first because he/she is directly involved with the goal and should have the best insight regarding progress. The evaluator then completes his/her assessment. Signatures indicate the information has been read and discussed.

SCHOOL GOAL OBJECTIVE FORM

PRINCIPAL SCHOOL EVALUATOR

GOAL:

FEEDBACK CONFERENCE DATE(S):

SUPPORT SERVICES NEEDED AND/OR UTILIZED: (Physical, fiscal, personnel resources.)

PRINCIPAL'S ASSESSMENT OF ACHIEVEMENT OF GOAL (Describe the achievement of the goal.)

EVALUATOR'S ASSESSMENT OF ACHIEVEMENT OF GOAL (Describe the achievement of the goal.)

Principal's Signature/Date

Evaluator's Signature/Date

NOTES: Typically, the principal responds first because he/she is directly involved with the goal and should have accurate insight regarding goal achievement. The evaluator then completes his/her assessment. Signatures indicate the information has been read and discussed. Additional comments should be permanently appended to this form and initialed by principal and evaluator.

Outline of the Performance Based Principal Evaluation Process

Following is a step-by-step outline of procedures for performance based principal evaluation. The system begins with identification of the evaluators for principals; continues with the formative, or supervisory phase, designed for improvement of instruction through effective administration; and, culminates in the summative evaluation report.

1. Evaluators

The superintendent is the person responsible for the administration of the performance based principal evaluation system in the School District. Typically, the evaluator should be the principal's immediate supervisor. The use of multiple evaluators may be appropriate and beneficial. Evaluators will be well versed in the fundamentals of the principalship, administrative skills, and effective schooling. The evaluators will also be familiar with the characteristics and problems of the schools administered by the principals whom they are to evaluate.

The evaluators will receive orientation in the performance based principal evaluation process.

2. Orientation

Orientation of Evaluators

In-service training will be provided annually by the district to improve the consistency and quality of evaluators' skills.

Orientation of Principals

Each year, prior to the evaluation cycle, in-service training should be offered for principals in order to provide:

- Information on the evaluation process and procedures.
- An understanding of the role of the principal and the role of the evaluator.

3. Evaluation Cycle

Principals will be evaluated each year, including a formative phase and a summative evaluation. The evaluation cycle proceeds from July through June with the summative evaluation typically conducted late during the cycle.

4. Formative Phase

Policies for Principal Observation

Principals will be observed on both a scheduled and unscheduled basis. There will be a minimum of one scheduled and one unscheduled observation.

Annual Goal Development Conference

- The principal will submit Annual Goal Statements to the evaluator.
- The evaluator and the principal will review and agree upon the Annual Goal Statements.
- Copies of the Annual Goal Statements will be retained by the principal and the evaluator.

Scheduled Observations

- The scheduled observation will be conducted as agreed upon by the principal and evaluator.
- The evaluator will take notes during the observation and interpret those notes on the Formative Feedback Form.

Unscheduled Observations

·The evaluator will take notes during the observation and interpret those notes on the Formative Feedback Form.

Post-Observation conference

·A post-observation conference will be held after any scheduled or unscheduled observation for which a Formative Feedback Form has been completed.

·The evaluator will provide a copy of the Formative Feedback Form to the principal. Both parties sign the document to indicate it has been read and discussed.

Professional Development Plans

·Professional development plans are measurable, precise objectives stated in terms which assist in their attainment.

·The evaluator and/or the Principal may identify professional development plans.

·Professional development plans will be stated on the Professional Development Plan Form and jointly reviewed by the evaluator and the principal.

·Professional development plans remain in effect until satisfactorily completed.

·When a professional development plan has been satisfactorily accomplished, the evaluator and the principal date and initial the Professional Development Plan Form.

·Where appropriate, additional personnel may provide assistance to the principal in the completion of Professional Development Plans and in the improvement of administrative skills.

·Professional Development Plans will be developed annually for each principal.

Goal Statement Feedback

·Goal Statement Feedback conferences will occur during the evaluation cycle to discuss progress toward the accomplishment of each goal.

Non-Observed Data

·Any information pertinent to the evaluation process, e.g. phone calls, letters, etc. must be documented in writing, typically on the Formative Feedback Form, and discussed if the information is to be used in the Summative Evaluation.

Staff Input

Staff input is an important aspect of effective administration. Each building principal will obtain staff input in a systematic manner during the school year. The purpose of this input is to assist the principal in determining building goals.

5. Summative Phase

·The summative phase is the review of all data pertaining to the performance of the principal.

·The performance criteria are assessed through the Summative Evaluation Report. Accomplishment of goals are assessed through the Goal Statement Summative Report.

·After the evaluator has completed the Summative Reports, a summative conference will be conducted during which the evaluator and the principal review the Summative Evaluative Report and the Goal Statement Summative Reports.

·Both the evaluator and the principal sign the Summative Evaluation Report and the Goal Statement Reports, indicating that the document has been read and discussed.

·Copies of the Summative Evaluation Report and the Goal Statement Reports will be retained by the evaluator and the principal.

·Principals have the right to appeal the results of the summative reports in writing and in person to their evaluator, then to other appropriate district personnel.

·The desired level of performance on the Summative Evaluation Report is the Performance Expectation column. This column represents effective skill levels for the given criteria. Any rating below expected performance must be preceded by efforts to improve that skill via a Professional Development Plan.